Lieder, Listeners, and Ideology: Schubert's "Alinde" and Opus 81*

By David Gramit

> The lied's space is affective, scarcely socialized: sometimes, perhaps, a few friends—those of the Schubertiades; but its true listening space is, so to speak, the interior of the head, of *my head:* listening to it, I sing the lied with myself, for myself. . . . The lied supposes a rigorous interlocution, but one that is imaginary, imprisoned in my deepest intimacy.
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> —Roland Barthes, 1976[1]

> [The lied is] a form of lyric poetry whose character rests on the depiction of a single feeling, which gently moves the soul. The subjectively perceived feeling is objectified in aesthetic form and then works directly on the feelings and only indirectly (through those feelings) on the powers of imagination and desire.
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> —Georg Christoph Grosheim and Gustav Nauenberg, 1837[2]

One of the constants in the history of the reception of the nineteenth-century lied has been a belief in the intimate and direct expressive power of the genre. Different though the vocabulary and concerns of Barthes and the nineteenth-century encyclopedists cited above are, their common

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[1] Roland Barthes, "The Romantic Song," in *The Responsibility of Forms: Critical Essays in Music, Art, and Representation,* trans. Richard Howard (New York: Hill & Wang, 1985), 290.

[2] ". . . ist das Lied eine lyrische Dichtungsart, deren Charakter auf der Darstellung nur *eines* Gefühls beruht, welches die Seele sanft bewegt. Das subjectiv wahrgenommene Gefühl wird in der ästhetischen Form objectivirt und wirkt daher unmittelbar wieder auf das Gefühl und nur mittelbar (durch dieses) auf das Vorstellungs- und Begehrungsvermögen." Grosheim and Nauenberg, "Lied," in *Encyclopedie der gesammten musikalischen Wissenschaften, oder Universal-Lexicon der Tonkunst,* ed. Gustav Schilling, vol. 3 (Stuttgart: Franz Heinrich Köhler, 1837), 383–84. The quoted excerpt focuses on the literary lied, which the rest of the lengthy article goes on to extend to relate to the musical genre as well.

starting point is a genre they perceive to have uniquely immediate access to the most interior regions of the listener. Joseph Kerman's widely used music-appreciation text introduces listeners to that genre in strikingly similar terms when he characterizes the lied's "intimacy of expression. . . . The singer and the pianist seem to be sharing an emotional insight with you, rather than with an entire audience."[3]

Although not often so explicitly stated, this understanding of the nature of the lied conditions much of the traditional music-historical discourse about the genre, including the most familiar commonplace of all: Franz Schubert's "establishment of the lied as an autonomous musical form."[4] Such assertions as "the Schubert song was practically without ancestry," despite the activity of numerous earlier songwriters, rest largely on the conviction that Schubert's songs achieve an immediacy of emotional expression that has no precedent.[5] That immediacy removes the lied from any particular historical or social context and places it in unmediated contact with the individual listener, who can then be moved by, analyze, converse with, or simply luxuriate in the song as an autonomous work of art.

Appropriate and rewarding though all these activities may be, the understanding of the lied that makes them possible is not "natural" or automatic, but rather culturally determined; it is influenced by and participates in the social formation of the listener who learns so to hear lieder. In short, it is an ideology, if, with James H. Kavanagh, we understand ideology as "a rich 'system of representations,' worked up in specific material practices, which help form individuals into social subjects who 'freely' internalize an appropriate 'picture' of their social world and their place in it."[6]

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[3] Joseph Kerman, *Listen,* 2d brief edition (New York: Worth, 1992), 253.

[4] John Reed, *Schubert* (London: Dent, 1987), 31. To link Barthes to "traditional" approaches to listening may seem perplexing, but as Pierre Bourdieu has noted, Barthes's emphasis on modes of perception acquired through lifelong acquaintance with a tradition rather than those that can be learned through formal education also aligns his musical writings with socially established concepts of bourgeois high culture (*Distinction: A Social Critique of the Judgement of Taste,* trans. Richard Nice [Cambridge: Harvard University Press, 1984], 75–76).

[5] The quotation is from Maurice J. E. Brown, *The New Grove Schubert* (New York and London: Norton, 1982), 86. The discussion that follows makes clear that Brown was quite aware of earlier composers' work but that the emotional depth of Schubert's songs sets them completely apart. Even a study as sensitive to the social context of early lieder as Margaret Mahony Stoljar, *Poetry and Song in Late Eighteenth Century Germany: A Study in the Musical* Sturm und Drang (London, Sydney, and Dover, New Hampshire: Croom Helm, 1985), sets the "art song" of Schubert and his successors apart from the eighteenth-century lied and its context (pp. 16–17).

[6] James H. Kavanagh, "Ideology," in *Critical Terms for Literary Study,* eds. Frank Lentricchia and Thomas McLaughlin (Chicago and London: University of Chicago Press, 1990), 310.

Like all ideologies, the ideology of the lied's unmediated communicative power directs our attention to certain aspects of the objects it presents, but it equally effectively obscures others. In the discussion that follows, I seek to explore both how that ideology functions and what it serves to obscure through an examination of one song as well as the publication of which it formed a part—Franz Schubert's "Alinde" (D. 904), written in January 1827 and published in that year as opus 81, no. 1—from a perspective informed by these opening reflections and by an interpretive focus on the primary nineteenth-century audience for such music: the Austro-German educated classes. How might such a song both help reinforce and be interpreted through the terms established by the ideology of the lied's immediacy? Such an undertaking requires a simultaneous insistence on two distinct perspectives: first, that of the experience of music as a formally structured, apparently autonomous object—a perspective that, as I have argued elsewhere, is intimately related to the culture in which the lied flourished.[7] The second is that of the role of music as a marker of collective identity and self-definition.[8] In brief, I seek to interpret both a musical work and the ideological filters that helped define it.

Since, as Jeffrey Kallberg has argued, the social construct of genre can offer a more direct link to the social role of music than can analysis of individual works,[9] I begin not with "Alinde" itself but with the lied, a genre whose function and mode of circulation both underwent drastic changes in the late eighteenth and early nineteenth centuries. Earlier lieder had at best a modest place in the output of professional musicians/composers. The relative expense and restricted availability of printed music and the still significant role of manuscript circulation limited their potential as a commercial commodity, while any claims to status as prestigious art were undercut by the lied's association with domestic recreation or education and its lack of overt ties to aristocratic musical practice.[10] With the development of an international, professional, and profitable publishing industry around the turn of the century, however, the lied's domestic associa-

[7] See David Gramit, "Schubert's Wanderers and the Autonomous Lied," *Journal of Musicological Research* 14 (1995): 147–68.

[8] For an extensive consideration of the role of cultural artifacts, including music, from this perspective, see Bourdieu, *Distinction.*

[9] See Jeffrey Kallberg, "The Harmony of the Tea-Table: Gender and Ideology in the Piano Nocturne," *Representations* 39 (summer 1992): 102–33.

[10] For a detailed study of the place of the lied before Schubert, see Heinrich W. Schwab, *Sangbarkeit, Popularität und Kunstlied: Studien zu Lied und Liedästhetik der mittleren Goethezeit, 1770–1814,* Studien zur Musikgeschichte des 19. Jahrhunderts 3 (Regensburg: Gustav Bosse, 1965). On the genre's lack of status, see esp. pp. 137–51.

tions made it (along with music for the keyboard) one of the most readily salable of musical commodities.[11] Its literary texts appealed to those who might have less interest in purely instrumental music, its modest performing forces made it suitable for domestic use, and its generally small scale and lack of virtuoso pretensions meant it could attract amateurs as well as accomplished performers. So, for instance, when on 9 February 1828, the publisher B. Schotts Söhne made its first overtures to Schubert, although they pointed with pride to publications that would suggest prestige to a musician—the late works of Beethoven—they asked for "pianoforte works or vocal pieces for one or several voices, with or without pianoforte accompaniment." Similarly (and, coincidentally, on the same day), the publisher H. A. Probst also wrote Schubert, requesting "songs, vocal pieces, or romances which, without sacrificing any of your individuality, are yet not too difficult to grasp."[12]

Beyond these relatively modest requirements for technical facility and material possessions, though, a developed taste for lieder required substantial cultural capital: familiarity with both a complex musical idiom and an equally highly developed tradition of German lyric poetry, and a cultivated sensitivity to the interaction of the two arts. Furthermore, since public lieder recitals did not yet exist and public concerts included lieder only irregularly, extensive access to lieder was distinctly limited: listeners could hear lieder frequently only if they themselves had the requisite possessions (resources sufficient to own a piano and purchase music) and training (knowledge of music and at least minimal proficiency at the keyboard) or if they had among their acquaintances such individuals. Without such access, connoisseurship could scarcely exist. Thus, familiarity with the genre and its conventions implied membership in a limited group for whom such songs had meaning and value: to recognize conventions is to confirm one's sense of belonging—in this case, of belonging to the German-speaking, educated classes that provided the lied's principal audience, just as they provided the audience for the poems those lieder set.[13]

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[11] On the development of music publishing and its implications, see William Weber, "Mass Culture and the Reshaping of European Musical Taste, 1770–1870," *International Review of the Aesthetics and the Sociology of Music* 8 (1977): 7–12.

[12] Cited in Otto Erich Deutsch, ed., *Schubert: A Documentary Biography,* trans. Eric Blom (London: Dent, 1946), 737, 735. Probst had already requested lieder and simple piano pieces on 26 August 1826 (Deutsch, *Schubert: A Documentary Biography,* 550).

[13] On the link between the elite portion of the German middle class and German literature, see Martha Woodmansee, "The Interest in Disinterestedness: Karl Philipp Moritz and the Emergence of the Theory of Aesthetic Autonomy in Eighteenth-Century Germany," *Modern Language Quarterly* 45 (1984): 22–47, esp. pp. 36–43. On the continuing link between this segment of society and the lied, see Gramit, "Schubert's Wanderers and the Autonomous Lied."

In a society in which the middle class owed its station largely to the services it provided to states ruled by traditional monarchs and aristocrats, such literary and artistic cultivation assumed particular symbolic importance: middle-class standing did not bring political and economic power, which at least before 1848 remained firmly in the hands of the hereditary nobility and monarchies, but rather prestige, and knowledgeable participation in the forms of "high" culture was a highly visible sign of that status.[14] Under such circumstances, the lied—with modest performing forces that made relatively small domestic spaces equipped with only a piano musically viable, but which placed both literary and musical demands on its performers and listeners—was well suited to the cultural needs of the *Bürger* of moderate financial means but well-developed cultural awareness.

Although the lied was thus both a commodity and a marker of status, both these roles were masked by the ideology of the lied's immediacy, which stresses instead the impact of an autonomous aesthetic object on a listener's individual experience. And insistence on the primacy of individual experience was a central element of bourgeois self-identity, an element that received unusually straightforward expression in a letter written by Schubert's friend Eduard von Bauernfeld in October 1826:

> I don't demand that all people be cut to the same pattern. On the contrary, this variation of individuals carried out to the smallest detail is what makes me constantly seek out and observe new acquaintances. . . . I know a hundred people, and each knows me differently. Whether or not this is to my credit, I don't know. It's simply a necessity always to be what the relationship demands. At bottom, though, my unique nature gleams through to those who know how to grasp it.[15]

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[14] On the limited political and economic standing and the cultural significance of the German middle class, see David Blackbourn, "The German Bourgeoisie: An Introduction," in *The German Bourgeoisie: Essays on the Social History of the German Middle Class from the Late Eighteenth to the Early Twentieth Century,* ed. Blackbourn and Richard J. Evans (London and New York: Routledge, 1991), 1–45, esp. pp. 4–6; and Eda Sagarra, *A Social History of Germany, 1648–1914* (London: Methuen, 1977), 253–54. On the dependence of the middle class on the traditionally structured state, see Anthony J. La Vopa, "Conceiving a Public: Ideas and Society in Eighteenth-Century Europe," *Journal of Modern History* 64 (1992): 89–90, and the literature cited there. My emphasis on the middle class is not intended to suggest that members of the nobility had no interest in the lied, nor that those members of the nobility who participated in the activities I here describe were fundamentally distinct from their untitled contemporaries. However, as many scholars have noted, the individualist model that allowed such free interaction was fundamentally bourgeois.

[15] Edward von Bauernfeld to Franz von Schober (October 1826). Cited in Walburga Litschauer, ed., *Neue Dokumente zum Schubert-Kreis: Aus Briefen und Tagebüchern seiner Freunde* (Vienna: Musikwissenschaftlicher Verlag, 1986), 53–54: "ich fordere nicht, d[ie] Menschen

Recent studies of German social history provide a broader (and, ironically, generalizing) context for Bauernfeld's emphasis on the irreducibly individual: although diverse and regionally varied, German bourgeois culture, like many national counterparts, upheld values that placed a premium on the individual and his own attainments, albeit always within the bounds of the socially acceptable; among them are such familiar values as competition, hard work, achievement and its rewards, and independence both financial and intellectual (the latter achieved through self-cultivation).[16] The peculiarities of the German administrative classes alter the expression rather than the broad outlines of these values, for to define one's status by educational attainments or cultivation is in many respects analogous to doing so by individual entrepreneurial or political achievement: whatever the role that one's background may actually have played in positioning oneself to achieve status in a particular field, that status is viewed as the achievement of a free individual, not the result of one's hereditary place in a natural order.[17] To cite Bauernfeld once again: "Until I have done something worthwhile I am no human being."[18] A genre that was believed to communicate directly to such unique, self-defining individuals—just as it was purchased on a market that catered to the needs of those individuals—could provide an ideal "material practice" for the internalization of those values.

The situation, however, is less tidy than the above review might at first suggest. To append "socially acceptable" to a list of individualistic values is more than a perfunctory hedge against overgeneralization. It raises a problem given succinct expression in Franco Moretti's study of the

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nach Einem Leisten zu modeln. Im Gegentheil: diese bis ins kleinste ausgearbeitete Verschiedenheit der Individuen ist es, die mich immer mit Lust neue Menschen suchen u. beobachten läßt. . . . [I]ch kenne 100 Menschen, u Jeder kennt mich anders. Ob dieß ein Lob ist, weiß ich nicht. Nur ist es Bedürfniß, immer so zu seyn wie es gerade das Verhältniß mit sich bringt—im Grunde schimmert doch für den, der sie aufzugreifen versteht, die eigenthümliche Natur durch."

[16] See Blackbourn, "The German Bourgeoisie," 9, for a discussion of these values and their role. This is not to minimize the substantial differences between the institutional and musical life of, for example, Berlin and Vienna, but to acknowledge a degree of unity that local studies can obscure. On the ideals of "bürgerliche Kultur" as unifying factors, see Wolfgang Kaschuba, "Deutsche Bürgerlichkeit nach 1800: Kultur als symbolische Praxis," in *Bürgertum im 19. Jahrhundert: Deutschland im europäischen Vergleich,* ed. Jürgen Kocka, vol. 3 (Munich: Deutscher Taschenbuch Verlag, 1988), 9–44; on the similarities and differences between Austria and Germany, see Ernst Bruckmüller and Hannes Stekl, "Zur Geschichte des Bürgertums in Österreich," in *Bürgertum im 19. Jahrhundert,* 1, 160–92.

[17] For an overview of this transformation in perception, see Thomas Nipperdey, *Deutsche Geschichte 1800–1866: Bürgerwelt und starker Staat* (Munich: Beck, 1983), 264–71.

[18] From Bauernfeld's diary entry of 8 March 1826. Cited in Deutsch, *Schubert: A Documentary Biography,* 516.

Bildungsroman: "how can the tendency towards *individuality,* which is the necessary fruit of a culture of self-determination, be made to co-exist with the opposing tendency to *normality,* the offspring, equally inevitable, of the mechanism of socialization?" As Moretti goes on to note, the problem is still more acute because bourgeois society "cannot concede that socialization is based on a mere compliance with authority. It is not enough that the social order is 'legal'; it must also appear *symbolically legitimate.*"[19] Overt coercion would undermine the appearance of individuality and freedom; social values are more effectively inculcated through symbolic practices, including art. As long as the ideology of immediacy appears natural—"the way to appreciate lieder"—it serves to legitimize the social practices and beliefs that enable it. Its almost exclusive stress on individual experience masks the tensions inherent in those practices.

These considerations establish the conditions for my hearing of "Alinde." Its focus, like that of the nineteenth-century lied in general, is unquestionably on the individual subject. At the same time, unlike many of Schubert's earlier songs, it reflects his increasing activity as a composer writing not exclusively for a circle of personal acquaintances but for a larger public: both the short interval between its composition and publication and the relative prominence—at least in musical circles—of its poet, *Allgemeine musikalische Zeitung* founder and editor Friedrich Rochlitz (whose poems also provide the texts for the other two songs in opus 81), suggest that it was conceived expressly for the purpose of immediate publication,[20] and its relative technical simplicity marks it as a song Probst might have considered "not too difficult to grasp."

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Die Sonne sinkt ins tiefe Meer,
Da wollte sie kommen.
Geruhig trabt der Schnitter einher,
Mir ist's beklommen.
Hast, Schnitter, mein Liebchen nicht gesehn?
Alinde! Alinde!—

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[19] Franco Moretti, *The Way of the World: the 'Bildungsroman' in European Culture* (London: Verso, 1987), 16.

[20] Although Rochlitz is now remembered almost exclusively in his role as founding editor of the Leipzig *Allgemeine musikalische Zeitung,* at the time he was also known as a poet and literary figure. John Reed, *Schubert* (London: Dent, 1987), 170, suggests that Tobias Haslinger, Schubert's publisher, encouraged such settings of prominent contemporary poets to increase sales.

"Zu Weib und Kindern muß ich gehn,
Kann nicht nach andern Dirnen sehn;
Sie warten mein unter der Linde."—

Der Mond betritt die Himmelsbahn,
Noch will sie nicht kommen.
Dort legt der Fischer das Fahrzeug an,
Mir ist's beklommen.
Hast, Fischer, mein Liebchen nicht gesehn?
Alinde! Alinde!—
"Muß suchen wie mir die Reusen stehn,
Hab nimmer Zeit, nach Jungfern zu gehn.
Schau, welch einen Fang ich finde!"—

Die lichten Sterne ziehn herauf,
Noch will sie nicht kommen.
Dort eilt der Jäger in rüstigem Lauf,
Mir ist's beklommen.
Hast, Jäger, mein Liebchen nicht gesehn?
Alinde! Alinde!—
"Muß nach den bräunlichen Rehbock gehn,
Hab nimmer Lust nach Mädeln zu sehn,
Dort schleicht er im Abendwinde."—

In schwarzer Nacht steht hier der Hain;
Noch will sie nicht kommen.
Von allen Lebendgen irr' ich allein
Bang' und beklommen.
Dir, Echo, darf ich mein Leid gestehn:
Alinde—"Alinde,"
Ließ Echo leise herüberwehn;
Da sah' ich sie mir zur Seite stehn:
"Du suchtest so treu: nun finde!"—

The sun sinks into the deep sea—she was going to come then. The reaper trots calmly along, I am uneasy. Reaper, haven't you seen my beloved? Alinde! Alinde!—"I have to meet my wife and children, I can't go looking for other girls; they're waiting for me under the linden."

The moon enters its heavenly course—still she doesn't come. There the fisherman puts his boat ashore, I am uneasy. Fisherman, haven't you seen my beloved? Alinde! Alinde!—"I have to look over my nets, I never have time to chase after girls. Look what a catch I have!"

> The bright stars rise—still she doesn't come. There the hunter hurries in a vigorous run, I am uneasy. Hunter, haven't you seen my beloved? Alinde! Alinde!—"I have to go after the brown roebuck, I never feel like looking for girls—there he creeps in the evening wind."
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> The grove stands here in black night—still she doesn't come. Of all living things, I stray alone, worried and uneasy. Echo, to you I can confess my sorrow: Alinde—"Alinde," Echo wafted gently towards me; then I saw her standing at my side: "You sought so loyally, now find!"

Despite its author's status at the time, Rochlitz's poem has not fared well with more recent critics. According to Alfred Einstein, Rochlitz was a publisher "who also fancied himself a poet": "it was due solely to Schubert that a few of his poems acquired some degree of immortality."[21] The text has received the patronizingly faint praise of Richard Capell's "slight but charming" as well as the brusque dismissal of Dietrich Fischer-Dieskau: "a not very good idea of a not very convincing poet."[22] In short, "Alinde" has been consigned to that large category of Schubert's songs in which a mediocre poem is tolerated only because a composer of genius provided a superior setting. But the context of listening is crucial: what audiences in the 1820s heard—the work of a respected literary figure set by an interesting young composer, is quite distinct from what present audiences hear—the work of a forgotten poet of interest solely because of a setting by a Great Master. And the interpretative climate of the 1820s also supplies a widely available context—that of Romantic criticism—in which the text's incessant, almost ritualistic repetitiveness could be read as an asset rather than a flaw.

One need not draw on such leading Romantics as the Schlegel brothers or E. T. A. Hoffmann to encounter discussions of the implications of romanticism. By the second decade of the nineteenth century, one could even find such observations in the pages of the *Wiener Moden-Zeitung:* "Romanticism is different; it destroys all space and all time, as well as every limiting relation of perception; it presses into the furthest distance—its life is longing, intimation of the absolute (love)."[23] Read from this per-

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[21] Alfred Einstein, *Schubert,* trans. David Ascoli (London: Cassell, 1951), 48, 269.

[22] Richard Capell, *Schubert's Songs,* 2d ed. (New York: Macmillan / London: Duckworth, 1957), 15–16; and Dietrich Fischer-Dieskau, *Schubert: A Biographical Study of His Songs,* trans. Kenneth S. Whitton (London: Cassell, 1976), 247.

[23] "Anders ist es mit der Romantik; sie vernichtet allen Raum und alle Zeit, so wie jedes andere beschränkende Verhältniß der Anschauung; sie dringt in die fernste Ferne, ihr Leben ist Sehnsucht, Ahndung des Absoluten (Liebe)." Aloys Jeitteles, "Gegen die romantische Schicksalstragödie," *Wiener Moden-Zeitung und Zeitschrift für Kunst, schöne Literatur und Theater* 2, no. 24 (22 March 1817): 190.

spective, the poem's focus becomes less a trivial love story than a challenge to the conventional order of time and activity. The reaper, the fisherman, and the hunter engage in successively more agitated activity, but the poem places them from the outset in opposition to the speaker; their activity is described, and without transition, the speaker reveals his apparently unrelated emotional state. In each of the first three stanzas, the speaker's vain attempt to find information about Alinde demonstrates his inability to overcome this formal and affective distance. The fourth stanza alters these constants. Each previous stanza had begun by describing the passage of time; now the grove simply stands. The third lines of previous stanzas had all described purposeful activities; now the speaker strays, aimless and isolated. Instead of speaking to an active member of society, he addresses a magical entity, a force of nature. Echo simply repeats the speaker's cry, yet this passive reliance on a magical world finally produces the results that the bustling society of workers had denied the speaker. Alinde appears—again without any activity. She is simply present.

The poem's lack of transitions, repetition of words and rhymes, and insistent use of the present tense all undercut its sense of forward motion, despite the temporal progression of the first three stanzas, establishing throughout a stasis that the final stanza makes explicit. The bustle of the workers is thus isolated from the reader's experience of the text, strengthening that reader's identification with the speaker.

To raise these familiar categories of romanticism—transcendence of the everyday world, the magical forces of nature, and the like—is only to begin to contextualize "Alinde": its implications are social as well as aesthetic, if we read it to show that the values of the busily virtuous workers of the first three stanzas are illusory and that the truly worthwhile is attainable only outside such fixed roles and obligations. Each character begs off with a different invocation of social responsibility: the reaper, with his duties as head of a household; the fisherman, with the necessity of retrieving the fruits of his labor; and the hunter, with an even more pressing desire for mastery over what he has not yet attained. Their increasing levels of activity correspond to the decreasing security of their positions (the first returning to an established household, the second retrieving an anticipated catch, and the last seeking a still-elusive quarry), but despite this differentiation, none doubts that his position entails specific obligations. Only the speaker himself—the "I" through whom the reader experiences the poem—remains uninvolved; we know nothing about him save his desire. And that desire is to know another subject, an individual with a unique name, not the various objectifications—*Dirnen, Jungfern, Mädeln*—offered by his interlocutors. Finally, it is not action but desire itself, spoken only to himself through the medium of Echo, that brings fulfilment.

Fixed roles, relationships, and actions are contrasted with the undefined, free subject, to the decided advantage of the latter.

The poem's literary context strengthens these social implications. Contemporary readers would have recognized the workers with whom the poem's narrator speaks as stock characters from a type of poetry quite different from, and older than, "Alinde." As representatives of preindustrial, rural livelihoods, sure of their proper place in the social order, they enact roles and uphold values that link them to a large body of late-eighteenth-century German poetry. These earlier poems formed a part of the pedagogical tradition that has become known as the *Volksaufklärung,* the goals of which were to educate the common people, inculcating not only Enlightenment rationality but also diligence, loyalty to authority, and contentment with one's station.[24] The poets of these works—many of them widely printed and long lived—included a variety of prominent figures, among them Gottfried August Bürger, Matthias Claudius, Johann Wilhelm Gleim, and Johann Heinrich Voß. A sampling of Schubert's settings of such texts (most set between 1815 and 1819) suggests the dominant tone: Ludwig Hölty's "Erntelied" (D. 434) celebrates the rewards of a successful harvest; Johann Gaudenz von Salis-Seewis's "Fischerlied" (D. 351, D. 364 [TTBB], and D. 562) places the work of its fishermen in the context of a world order in which each person fulfils a divinely ordained task; the anonymous "Tischlerlied" (D. 274) expresses pride in useful craftsmanship; and several texts by Matthias Claudius not only celebrate rural life but also explicitly advocate satisfaction with one's station.[25]

As if to strengthen the reference "Alinde" makes to this tradition, the poem's first three stanzas refer successively to three of its staple topics: social roles, the rewards of work, and diligence in that work itself. But the stable world of these topics is not the focus of "Alinde," any more than

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[24] On such poetry and its background, see Georg Weissert, *Das mildheimische Liederbuch: Studien zur volkspädagogischen Literatur der Aufklärung,* Volksleben 15 (Tübingen: Tübinger Vereinigung für Volkskunde, 1966). The conservative aims of such poetry are discussed in Lessing's 1772 letter to J. W. Gleim praising Gleim's *Volkslieder,* cited in Gleim, *Sämmtliche Werke,* ed. Wilhelm Körte, vol. 1 (Halberstadt, 1811; rpt Hildesheim and New York: Georg Olms, 1971), 337–40. See also La Vopa, "Conceiving a Public," 95; and Gerhard Sauder, "'Verhältnismässige Aufklärung': Zur bürgerlichen Ideologie am Ende des 18. Jahrhunderts," *Jahrbuch der Jean-Paul-Gesellschaft* 9 (1974): 102–26. The extent and surprising longevity of the *Volksaufklärung* is revealed in Holger Böning and Reinhart Siegert, *Volksaufklärung: Bibliographisches Handbuch zur Popularisierung aufklärerischer Denkens im deutschen Sprachraum von den Anfängen bis 1850,* 4 vols. (Stuttgart: Holzboog, 1990ff.).

[25] See especially Claudius's "Zufriedenheit" (D. 362 and D. 501); others by Claudius include "Lied im Reifen" (D. 532) and "Täglich zu singen" (D. 533). Among the other texts of this type set by Schubert are Salis-Seewis's "Pflügerlied" (D. 392) and "Herbstlied" (D. 502); and the "Morgenlied" (D. 266) of Friedrich Leopold, Graf Stolberg.

members of the literate urban society to which not only Schubert and his friends but also most of those who purchased printed poetry and songs belonged, would identify unproblematically with happy farmers, fishermen, and hunters. Read by such an audience, "Alinde" could draw on the appeal of idealized rural life while at the same time confirming its readers' sense of removal from that society: such stock figures invoke a culture to which neither the poem's protagonist nor its readers belonged. There is no question, however, of nostalgic yearning for a return: in the end, the freedom of the bourgeois subject triumphs over the sense of loss via the utopian deus ex machina of the final stanza.

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I have so far been discussing "Alinde" as a printed text, but those who bought Schubert's Opus 81 would have experienced it quite differently: not as four typographically distinct stanzas, but as an isolated line of text broken at points determined by the necessities of musical notation and printing. As anyone who has tried to read a poem for the first time from a musical score can attest, this altered layout can render comprehension difficult, at best. Furthermore, musically literate readers would likely follow at least the rhythmic and melodic outlines of the piece even on first perusal; there would be no purely literary experience of the poem. And when the song was sung, the text would not even have begun before the listener had oriented himself to the music, making the immediate interpretive moves that determine the categories the listener will use to make sense of the piece.[26]

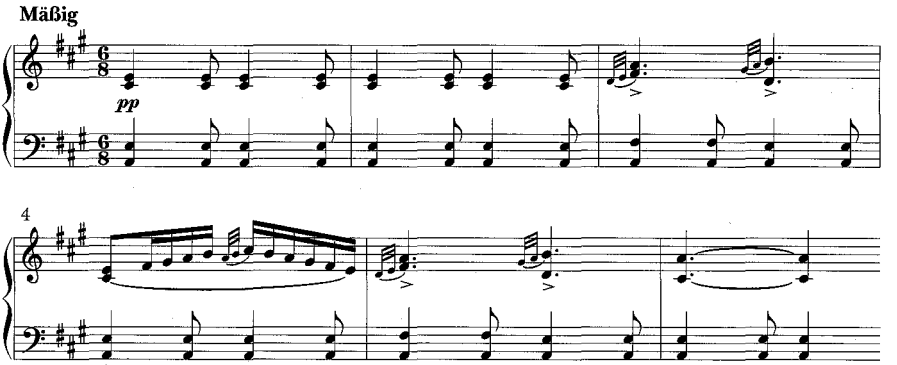
What, then, might such a listener conclude from the six-measure introduction to "Alinde" (example 1)? Beyond the obvious—i.e., tempo, meter, and key (A major)—it introduces first an unchanging rhythmic pulse and then (in mm. 3–6) a pattern of phrasing in paired two-measure units, while a tonic pedal continues underneath. Harmonic motion is so conventional that the reiterated rhythm and simple, stepwise right-hand figuration dominate the attention. The opening is thus calm, almost static: the music pulses and moves but does not develop or progress.

A listener familiar with contemporary generic conventions of song would likely have provisionally summed up these observations more succinctly with the observation (also made by John Reed[27]) that "Alinde" is a barca-

[26] This conceptualization of the listening process draws on Steven Feld, "Communication, Music, and Speech about Music," *Yearbook for Traditional Music* 16 (1984): 1–18.

[27] John Reed, *The Schubert Song Companion* (Manchester: Manchester University Press, 1985), 13.

Example 1: Franz Schubert, "Alinde," introduction (mm. 1–6)



rolle. Its "gentle motion, moderate tempo" and "marked lilting rhythm" in 6/8 meter (to draw on two standard twentieth-century definitions of the genre) are conventions widely recognized from the eighteenth century onward.[28] As the examples discussed below demonstrate, the tonic pedal too is a common trait. That these features had by the nineteenth century acquired associations beyond the strictly musical is suggested by an 1835 definition:

> Barcarolle . . . is the name the sailors and gondoliers of the ocean cities of Italy give to their national- or folksong, which they sing in the streets at work, or in their boats themselves as they move about on the water; thereby they express their happy, cheerful temperament, or else they lighten and make themselves forget the often great hardships of their life. . . . Its unique qualities are its rare but pleasant simplicity of harmony, interrupted only once, or at most twice at some suitable place by an unusual, passionate chord. The melody works in the same way, moving almost exclusively in the diatonic mode and passing through a few chromatic intervals only in accord with the harmony. As a purely natural song [*reiner Naturgesang*] its key and rhythm are also the most natural: 2/4 or 3/8, more rarely

[28] The first quotation is from M. J. E. Brown, "Barcarolle," *The New Grove Dictionary of Music and Musicians,* ed. Stanley Sadie (London: Macmillan, 1980); the second is from Willi Kahl, "Barkarole," *Die Musik in Geschichte und Gegenwart: Allgemeine Enzykopadie der Musik,* ed. Friedrich Blume (Kassel: Bärenreiter, 1949–51): "sanfte Bewegung, mäßiges Tempo." Both articles trace reports of the genre to the eighteenth century. For more extensive discussion of the genre and further musical examples, see Walter Salmen, "Venedig und die Barkarole in Oper und Operette," in *Die "Couleur locale" in der Oper des 19. Jahrhunderts,* ed. Heinz Becker, Studien zur Musikgeschichte des 19. Jahrhunderts 42 (Regensburg: Bosse, 1976), 257–68.

> 3/4 and 6/8, but with passionate accents, just as feeling itself stirs more powerfully in the breast of the typical natural human [*Naturmenschen*]; hence its ravishing effect. . . . It is a more difficult task for the composer than it appears at first glance: he must have studied precisely the character of that class of people if he would like to be successful in his creation; the musically uneducated boatman will most often surpass him.[29]

As the song proceeds, however, its relationship to the genre proves problematic. The music remains appropriate to the barcarolle, but the text and its implications stand in tension with the expectations that genre generates. There are no gondoliers here, the fisherman is only one of several rustic characters, and even the opening mention of the sea has no function beyond providing a veneer of plausibility for that fisherman's later appearance. That leaves only the "natural" art and emotional spontaneity of the workers to link musical genre and text. But as we have seen, rustic though they may be, the workers of "Alinde" are anything but free and spontaneous; on the contrary, spontaneity and freedom are the domain of the subject, the poem's speaker, and through him, the reader/listener. This suggests that the barcarolle may here function less straightforwardly than the above definition implies. Although we have no direct evidence that listeners to "Alinde" interpreted the barcarolle in this way, several near-contemporary operatic barcarolles establish the plausibility of such a claim: each is heard by the opera's characters to evoke a simplicity and stability far removed from the dramatic situation at hand.

Example 2 shows the beginning of the barcarolle found in the third act

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[29] "Barcarole," *Encyclopädie der gesammten musikalischen Wissenschaften,* ed. Gustav Schilling (Stuttgart: n.p., 1835–8); unsigned entry: "Barcarole . . . nennen die Schiffer und Gondelfahrer in den Seestädten Italiens ihr National- oder Volkslied, welches sie auf den Straßen bei ihrer Arbeit, oder auch im Fahrzeuge selbst beim Herumschiffen auf dem Wasser singen, um dadurch ihr frohes, heiteres Temperament auszudrücken, oder auch die oft großen Mühseligkeiten ihres Lebens zu erleichtern und vergessen zu machen. . . . Das Eigenthümliche derselben besteht in einer seltenen, aber wohlthuenden Einfachheit der Harmonie, die nur ein-, höchstens zweimal an irgend einer passenden Stelle durch einen fremdartigen leidenschaftlichen Accord unterbrochen wird. Eben so verhält es sich mit der Melodie, die sich fast ausschließlich nur in dem diatonischen Klanggeschlechte fortbewegt, und nur nach Maaßgabe der Harmonie wenige chromatische Intervalle durchgeht. Als reiner Naturgesang ist auch ihre Tonart und ihr Rhythmus der allernatürlichste: 2/4 oder auch 3/8, seltener 3/4 und 6/8 Takt, aber mit leidenschaftlichen Accenten, wie die Empfindung selbst mächtiger sich regt in der Brust des gewöhnlichen Naturmenschen, und daher hinreißend. . . . Für den Componisten ist sie eine schwierigere Aufgabe, als es auf den ersten Blick scheint: er muß den Charakter jener Volksclasse genau studirt haben, wenn er glücklich bei seiner Dichtung seyn will; der musikalisch ungebildete Bootsmann übertrifft ihn meistens darin."

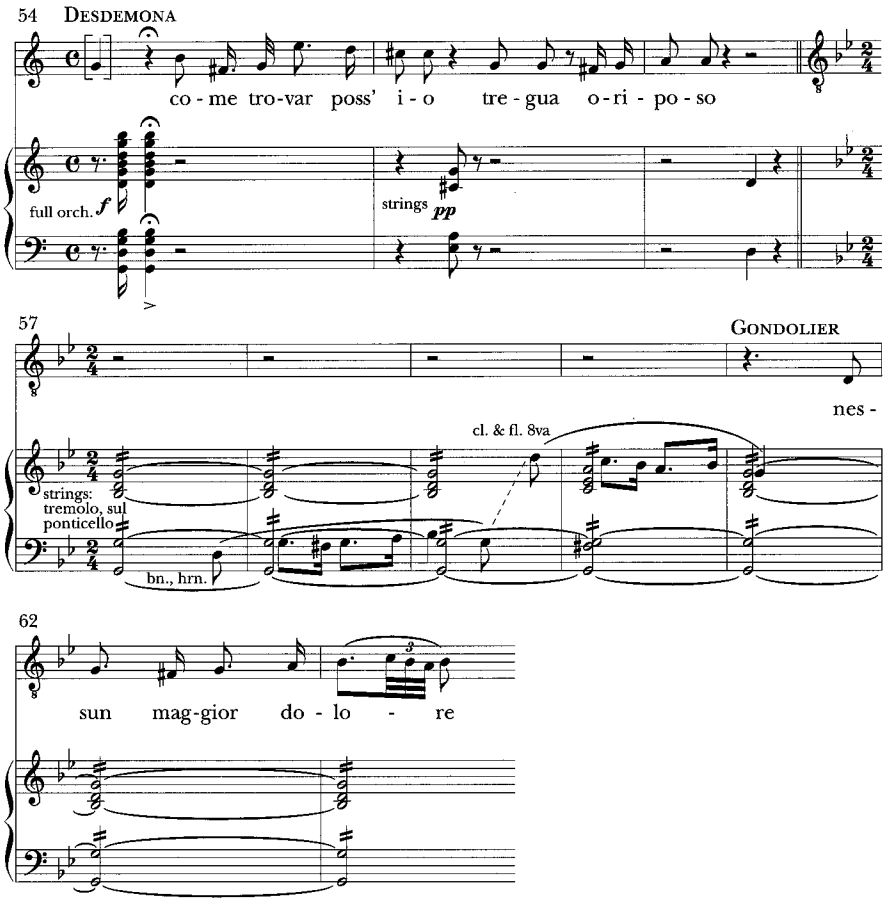
of Rossini's *Otello* (1816). A gondolier's song interrupts Desdemona's impassioned expressions of despair with a cruelly appropriate passage from the fifth canto of Dante's *Inferno* (rustic simplicity notwithstanding). The contrast becomes still stronger by the major-mode end of the inserted song, after which Desdemona resumes with increased agitation. The speeches that precede and follow this interlude confirm that the barcarolle is a foil, a vision of lost wholeness amid the broken relationships of the tragedy:

Desdemona: Che dici? che mai pensi? In odio al Cielo,
al mio padre, a me stessa . . . in duro esilio
condannato per sempre il caro sposo . . .
Come trovar poss'io tregua, o riposo?
Gondoliere: "Nessun maggior dolore
Che ricordarsi del tempo felice
Nella miseria."
Desdemona: Oh come infino al core
giungon quei dolci accenti!
Chi sei che così canti? . . . Ah tu rammenti
lo stato mio crudele.
Emilia: E'il Gondoliere, che cantando inganna
il cammin sulla placida laguna
pensando ai figli, mentre il ciel s'imbruna.
Desdemona: Oh lui felice! almen ritorna al seno,
dopo i travagli, di colei ch'egli ama.
Io più tornarvi, no, non potrò.

Desdemona: What are you saying? Whatever are you thinking of? Hated by heaven, my father, and myself . . . my dear husband condemned to cruel perpetual exile . . . how can I find respite or repose?
Gondolier: "There is no greater woe than to recall past bliss while in distress."
Desdemona: Oh, how these sweet sounds penetrate to my heart! Who are you that sings? . . . Ah, you remind me of my cruel lot.
Emilia: It is the gondolier, who singing beguiles his way along the placid lake, thinking of his children, while the sky is overcast.
Desdemona: Oh happy man! at least, after his labour, he returns to the bosom of the one who loves him. No, I cannot return there any more.[30]

[30] Translation from program notes in Gioachino Rossini, *Otello*. Philharmonia Orchestra (Philips 6769 023).

Example 2: Gioachino Rossini, *Otello,* Act 3, mm. 54–63



The familiar complex of simplicity, traditional work, and happy family offer an imaginary life that Desdemona can only look on as an unreachable ideal. The shift from recitative "realism" to the barcarolle with its otherworldly special effect of *ponticello* tremolo expresses through rhythmic gesture and sonority the split suggested in the text.

Another barcarolle—rhythmically and gesturally more similar to "Alinde"—dominates the second act and returns in the finale of Auber's *La muette de Portici* (1828). In Act 2, just before the outbreak of an ill-fated revolt by Neapolitan fishermen, Masaniello, their leader, sings a barcarolle describing a clandestine hunt for "the king of the seas"—a thinly veiled allusion to what is to come. By the end of the act, the rebellion is under way, and Masaniello urges that the barcarolle be sung by all, "pour mieux

cacher nos projets" (the better to hide our plans). In this case, even those who themselves sing the barcarolle know that it marks them as innocents and diligent subjects, but the idyllic has become a conscious pose to veil subversive activity.[31]

Another opera of rebellion, Rossini's *Guillaume Tell,* premiered the year after *La muette de Portici,* and the barcarolle again highlights a tension between idyll and oppressive reality. In the introduction to Rossini's final opera, Tell overhears a fisherman serenading a "timide jovencelle" with a barcarolle and is moved to reflect not on the song's charms but on its incongruity with his own and his country's situation: "he is not tormented by the weariness of spirit that afflicts me. . . . We no longer have a fatherland! He sings, and Helvetia mourns her lost freedom."[32] As in the other operas, by presenting an image of a lost, happy past, the barcarolle serves to emphasize the broken relationships of the present.

To consider these operas in the context of interpreting "Alinde" is not to suggest models for that song, still less to prove that Schubert was aware of how other composers used the barcarolle.[33] What these scenes do represent is a response to *hearing* a barcarolle. And for each hearer, the barcarolle evokes a harmonious world but, in so doing, reveals the extent of the action's distance from that world. The use of the barcarolle to set a text that explores the situation of an alienated individual among traditional roles places Schubert's "Alinde" within this interpretive context—except that real, socially situated listeners replace the staged audiences of the operatic barcarolles.

* * *

A return to the listeners' perspective can further clarify the relationship of the barcarolle to the poem's protagonist/voice: the listener first hears a barcarolle and only later encounters the subject who is declaiming the poem—*in* the barcarolle. The opening suggests what might seem an idyllic escape—temporary immersion in the simple world of the gondolier—

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[31] The reappearance of the barcarolle in the fifth act, as the rebellion fails, strengthens the disjuncture between the ideal world of the folksong and the treacherous one in which it is sung.

[32] "Il n'est pas tourmenté. . . . / Pour nous plus de patrie! / Il chante, et l'Helvétie / Pleure, pleure sa liberté." Translation by Joseph Allen from Gioachino Rossini, *William Tell* (Angel SEL-3793). On this scene's political context, see Philip Gossett, "Becoming a Citizen: The Chorus in *Risorgimento* Opera," *Cambridge Opera Journal* 2 (1990): 50–52.

[33] Of these operas, Schubert knew only *Otello.* See his letter to Anselm Hüttenbrenner of 19 May 1819, cited in Deutsch, *Schubert: A Documentary Biography,* 149.

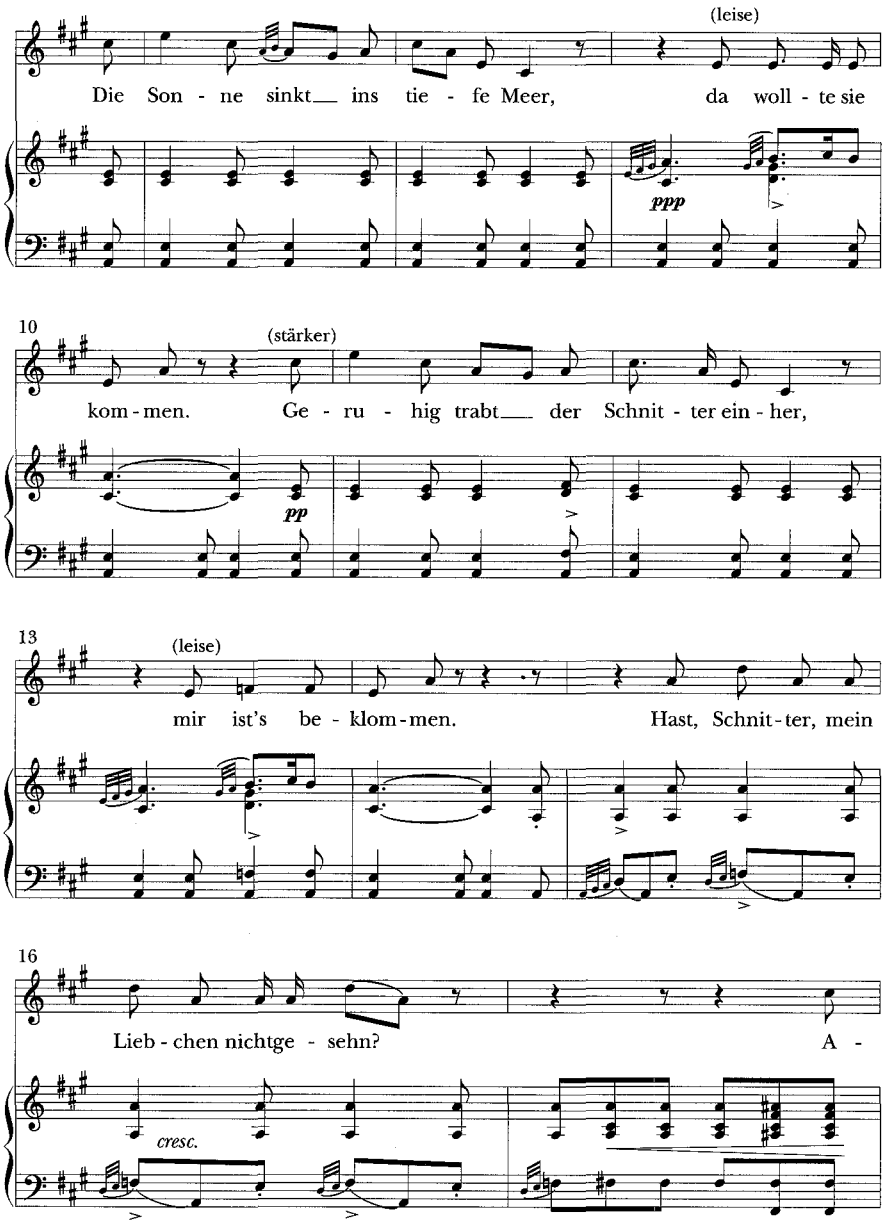
but as the song continues, the barcarolle and the society it evokes become increasingly inappropriate and uncomfortable.

To follow this process, consider the opening vocal line of the first strophe (example 3). Its first two phrases (mm. 7–10 and 11–14) continue the pattern of two-measure units but also introduce the song's first strong contrasts. The opening (mm. 7–8), with its descending tonic triad ornamented only by upper and lower neighbors, is in keeping with the simple musical character of the introduction. Its text, announcing an ocean sunset, also leaves the prevailing tone undisturbed. The next two measures, however, offer a sharp contrast: as the text enters the subject's realm by introducing a character—"sie"—who is defined only by her absence, the melody begins not with an anacrusis to a downbeat, as had the opening phrase, but in mid-measure, a shift that remains associated with the subject's concerns until the final strophe. Melodic shape too is altered, replacing triadic melody with a flat, declamatory line that closes with an ascending fourth (E to A). The beginning of the next phrase, reiterating the opening triadic melody, introduces the reaper (mm. 11–12).[34] With the fourth line's indirect announcement of the subject's presence, the melody returns to its more declamatory form and introduces the song's first nondiatonic pitch, F♮, an upper neighbor to E (mm. 13–14). The question that follows (mm. 15–16) retains the subject's declamatory style, reduced pitch material, and focus on the interval of a fourth, albeit in transposition (A to D) and without the chromatic neighbor; however, both F♮ and the semitone neighbor figure remain in the accelerated motion of the bass, implying the relatively distant key of D minor.

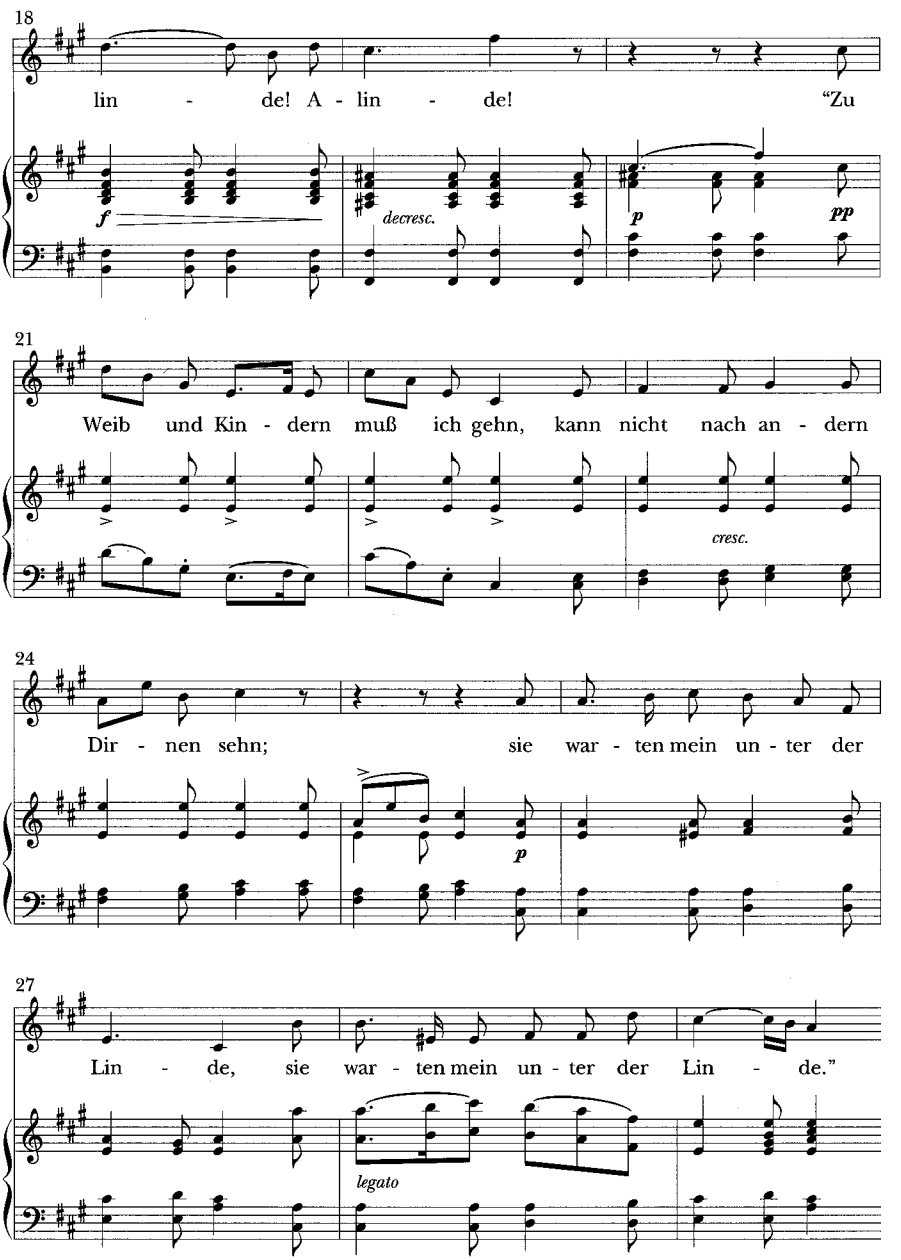
When, following this question, the speaker reveals Alinde's name (mm. 18–19), the perfect fourth, again transposed (C to F), receives its most elaborate treatment yet: the upper neighbor, D, is supplemented by a lower, B, and the figure is expanded to twice its original length. The reaper's reply, however, eliminates the prospect of further expansion of the subject's melody by returning to the opening melodic shape, now given increased forward momentum by its outlining of the dominant seventh prior to resolution. Thus the melody establishes a context in which the lines most closely identified with the speaker, those through which the listener first learns of his existence and his plight, are melodically set apart from the character of the rest of the song.

[34] On the association of such triadic melodies with songs of wandering workers, see Louise E. Peake, "Kreutzer's *Wanderlieder*: The Other *Winterreise*," *Musical Quarterly* 65 (1979): 83–102. Many of Schubert's earlier settings of songs of simple workers also employ such melodies.

Example 3: Schubert, "Alinde," strophe 1 (mm. 7–29)



Example 3 (cont.)



Harmony as well as melody contributes to this setting apart, for "Mir ist beklommen" is indeed a "suitable place" for what our definition termed an "unusual, passionate chord." The expression of uneasiness through which the listener first encounters the subject is also the first departure of any kind from the pitches of the tonic key, albeit a mild, passing one: F♮, the lowered sixth, simply intensifies a diminished seventh. However mild, though, that departure prepares the strophe's only extended nondiatonic harmony and identifies it with the subject rather than his surroundings. (The successive strophes of the setting follow the same pattern.) The F♮ returns in the accompaniment of the following phrase, until F♯ is reasserted in a brief but abrupt turn toward B minor and its dominant, F♯ major.

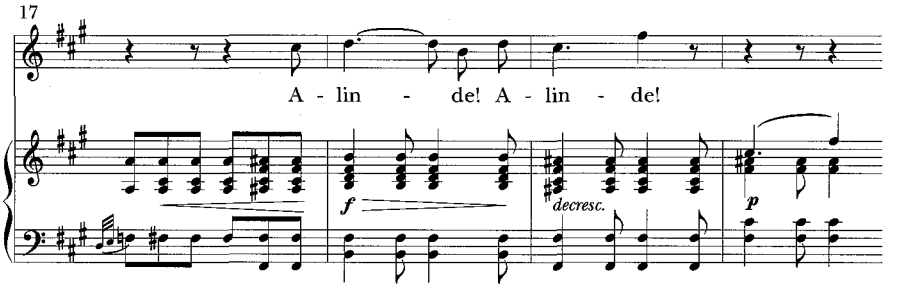
If the F♮ becomes associated with the speaker's discomfort with the present, the new sharp-key areas that so suddenly "correct" it—not only here but also in the following two strophes—become associated with his hope of reestablishing contact with another. Whether expressing uneasiness or utopian hopes, the speaker seems unable to accommodate himself to the prevailing tonality. These sudden juxtapositions undermine the sense of untroubled inevitability that the simple diatonic harmony of the opening had established. In effect, there is a sudden lurch, a tear in the fabric of conventional harmony in the midst of each strophe. That tear was enough to disturb one contemporary reviewer, who criticized "a few harmonic turns . . . which seem to us, for this particular piece, to sound a little too abrupt and therefore too hard."[35]

Precisely those abrupt turns, though, are crucial in each strophe: they appear each time the speaker utters Alinde's name, in association with expanded versions of the rising fourth already associated with the subject's affective realm (see example 4). In the first strophe, the result is that the semitone upper neighbor (C♯–D, analogous to the original, disruptive E–F♮) becomes diatonic, in that it does not disturb the suddenly prevailing F♯-major/B-minor harmony (nor, indeed, the song's tonic) as the original had disturbed A major. But this "normalization" of the semitone, reestablishing the link between the neighbor figure and the immediate harmonic context, is achieved not by returning to A major but rather by removing the entire passage disconcertingly far from that key—a move that the dominant seventh of the reaper's response immediately negates.

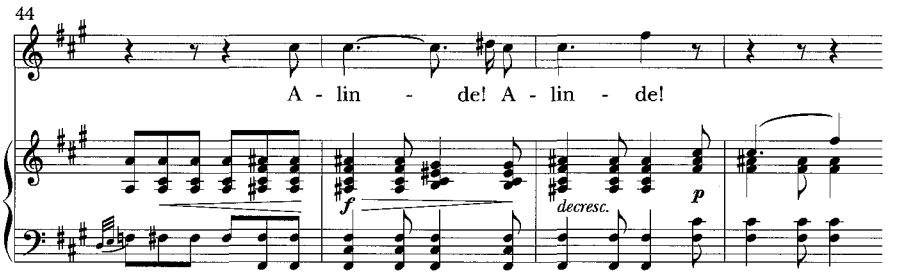
Just as the speaker's next two discussions follow the pattern of the first, seeking Alinde by trying to maintain a link with the surrounding society,

[35] From the Leipzig *Allgemeine musikalische Zeitung*, 23 January 1828, cited in Deutsch, *Schubert: A Documentary Biography*, 721.

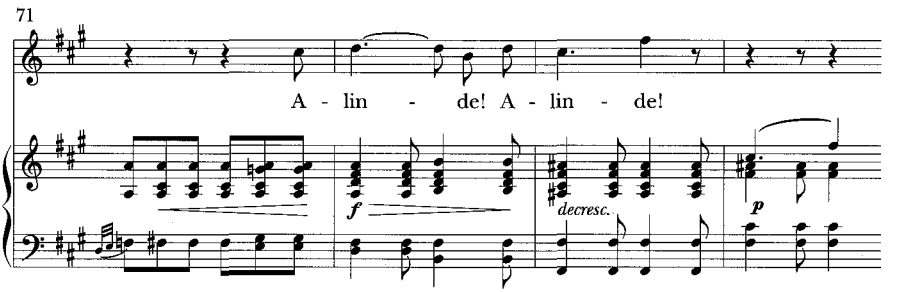
Example 4: Schubert, "Alinde"
a. Strophe 1, mm. 17–20



b. Strophe 2, mm. 44–7



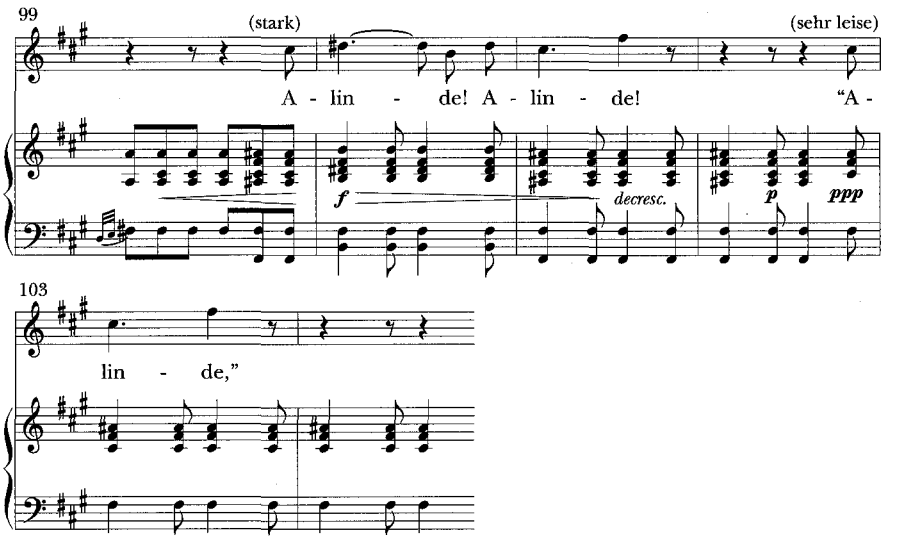
c. Strophe 3, mm. 71–4



so the pattern of transposition and reharmonization remains in the next two strophes. The second attempts a less elaborate treatment of the neighboring figure but substitutes a whole for a half step. The result is an even more firmly established distance from the tonic, since no suggestion remains of B minor, a chord at least present in the tonic key.[36] The third

[36] The harmony instead strongly implies F♯ major.

Example 4 (cont.)
d. Strophe 4, mm. 99–104



strophe returns to the melodic form of the first but presents an alternative harmonization, in which D-major and B-minor triads initially promise closer relation to A major; the A♯ that follows immediately, however, sounds still more conspicuously out of place as a result. Still, as in each preceding strophe, the subject's efforts to shake convention are ineffectual: not only does the end of each strophe reassert the tonic, but after each ending the last four measures of the introduction also return, reminding the listener that the situation—both tonal and relational—remains unchanged. An alternative has been imagined but not realized.

Rhythmically, too, the central section of each strophe upsets the barcarolle's prevailing character. Most obviously, each time the speaker asks his question, rhythmic activity in the bass increases suddenly (mm. 14ff.), and the following measure introduces a new bass figure to compete with the regular quarter-eighth pulse for the first time in the song. This seems in keeping with the "passionate accents" characteristic of the barcarolle, but together with the harmonic lurch at the same moment, it contributes to the sense of dislocation in m. 17. Here, changes in harmony suggest a pattern of accents ♪♩♪♩ that stretches the limits not only of the barcarolle but also of the conventions of 6/8 meter. Only the act of questioning brings about this disruption, though; when Alinde herself is recalled, meter and pulse are immediately secured. The resolution the speaker imagines seems to be made in the image of the order that cannot give it to him.

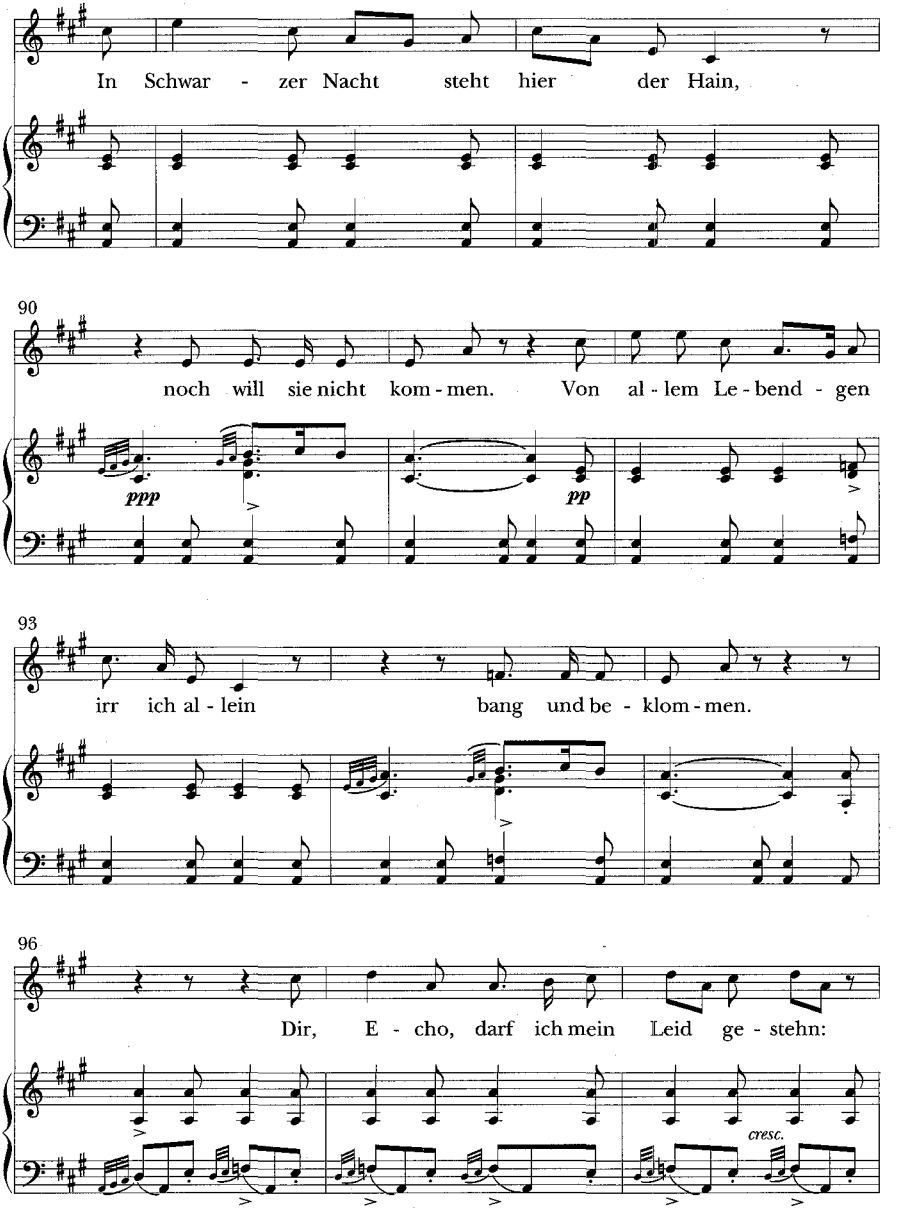
The measure that breaks the prevailing pulse brings about more than momentary metrical insecurity; it also breaks the pattern of two-measure phrases that had previously been completely regular. Measure 17 begins like a continuation of the previous two measures but quickly departs from that pattern; the chord change, dynamic climax, and entry of the voice in the following measure make it equally difficult to hear as the beginning of a phrase. Its status, like that of the subject whose question precedes it, is indeterminate. The following phrase (mm. 18–20) regularizes the disruption by following a two-measure phrase with a one-measure extension in the form of an echo that anticipates the solution of the final strophe (m. 20). In the first three strophes, however, the only impact of this alteration is on the workers' reply; each dismissal of Alinde's individuality in favor of an objectifying category occurs in a phrase structured with an echo parallel to the first (mm. 23–25, 50–52, and 77–79).

The final strophe (example 5) changes this situation as well as several other previous constants. Within the first four phrases, only the introduction of F♮ two measures before its usual appearance (m. 92) departs from the expected pattern. The fifth phrase, however—the usual question now replaced by an appeal to Echo—enters one beat later than expected (compare m. 96 to mm. 15, 42, and 69); this delay and the extension of the phrase by one measure begin a subtle transformation of the remainder of the strophe. Harmonically, the final "Alinde" (mm. 100–101) offers yet another alternative. The rising fourth remains, but the neighbor figure now combines the D♯ of the second strophe with the elaboration of the first and third. The result is the song's first B-major triad, a sonority that, although functioning locally as a dominant to the tonicized F♯, provides a previously absent harmonic link between the recurrent F♯ harmony and the E^7 of the reply.[37]

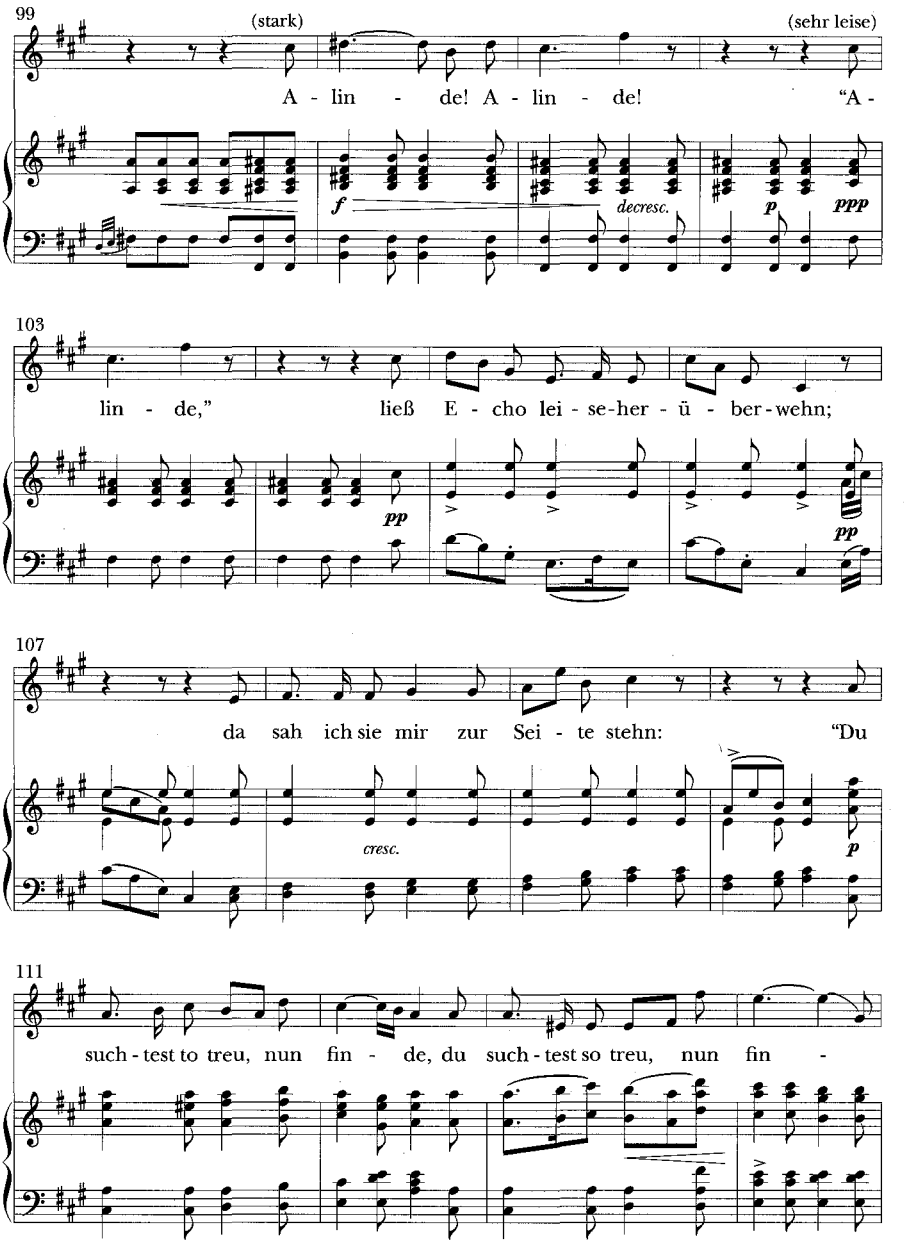
The echo, previously confined to the piano, is more obviously transformed. It now appears in the voice to announce Alinde's presence with the rising fourth that had first revealed her existence. The newly explicit echo also gradually establishes a shift from the previously normative two-measure phrasing to a pattern of three-measure units. Measures 96–98, which had begun the transformation, are followed by a six-measure unit (mm. 99–104) that could be heard as subdividing into 4 + 2 or 3 + 3, but

[37] The connection remains indirect, since F♯ harmony (mm. 101–104) intervenes between B (m. 100) and E^7 (m. 105). The significance of this chord, though, can be seen by comparing this version with that of the second strophe: both the B-major of the fourth strophe and the C♯ dominant seventh of the second function as dominants to local tonics, but only the B-major triad retrospectively provides a link between the "Alinde" passage and the following phrase.

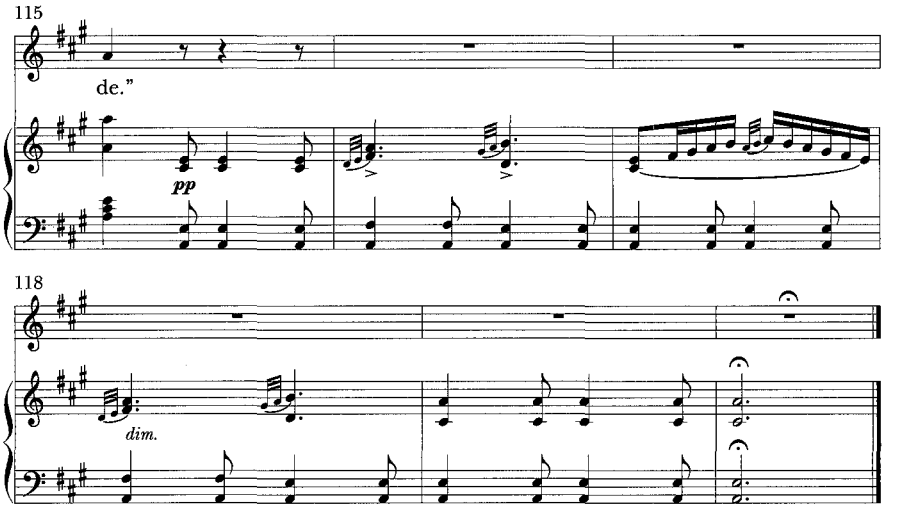
Example 5: Schubert, "Alinde," strophe 4 (mm. 88–120)



Example 5 (cont.)



Example 5 (cont.)



the following two phrases unambiguously follow a 2 + 1 pattern. Even the previously problematic inserted measure (m. 99) is altered: F♯ is introduced one eighth-note earlier, regularizing the measure's implied accentuation, weakening its link to the previous measure, and grouping it less ambiguously with those that follow. Only the last line of text reverts initially to a two-measure phrase, recalling the earlier norm as its words recall the questions of earlier strophes. Finally, this too is transformed into a three-measure phrase in repetition (mm. 113–15), and the introduction/interlude, now a coda, closes the piece with a final progression from a unit of two measures (mm. 116–17) to one of three (mm. 118–20), the latter culminating in the motionless final measure.

Describing the final strophe in this way stresses its differences from the preceding three, but in other respects it is far from a radical departure from the rest of the song. Echo makes use of the same melodic material as her predecessors, the barcarolle reasserts itself just as implacably as it had earlier, and utterly basic, functional diatonic harmony closes off this strophe as it had the rest.[38] Indeed, in one respect, the final strophe is still

[38] Lawrence Kramer writes that Schubert's unconventional harmonic practices "expose the rationality of Classical syntax as historically contingent rather than natural." Kramer, "The Schubert Lied: Romantic Form and Romantic Consciousness," in *Schubert: Critical and Analytical Studies,* ed. Walter Frisch (Lincoln and London: University of Nebraska Press, 1986), 234. Here, the rejection of unconventional alternatives suggests that Classical syntax, while not natural, is imposed as authoritative.

more conventional than the others: each phrase now begins with an anacrusis to a downbeat. Thus, on a variety of levels—the piece's own melodic material, the genre, the meter, and the harmony—"Alinde" presents a subject who, in achieving unique, individual fulfillment, nevertheless accommodates himself to conventions that had seemed oppressive and foreign when presented in the first three strophes.

Does "Alinde," then, suggest through its persistent retention of the conventional that the freedom of the free bourgeois subject is, finally, illusory, as imaginary as the magical resolution of the text? Or does its creative reworking of conventions offer a hope for that subject's survival as an autonomous individual even amid the conventional society in which it must exist? For those imbued with the ideology I have outlined, the first alternative seems improbable: such an interpretation would question the legitimacy of society as the guarantor of individualistic values. By contrast, the second offers precisely the comforting harmonization of free individual and surrounding society that could reinforce those values. Both the ideological practice of the lied and the song itself, heard through that practice, instantiate and reinforce socially "appropriate" images of the self in relation to society—that is, images that do not disturb the prevailing order. This is not to suggest that one alternative is more correct or authentic than the other, but rather to insist that both—and indeed all—interpretations are contingent on values and practices that rarely receive explicit statement. In this case, the result was that the optimistic hearing of the lied has been essentially the only viable one; contemporary reviewers heard nothing more troubling in "Alinde" than slight harmonic indiscretion.

* * *

Those contemporary reviews also serve as a reminder that "Alinde" reached its public as the first of three songs in Schubert's opus 81. Like many of Schubert's published sets of songs, the three treat related ideas, and the similarity of the opening gesture of the second, "An die Laute" (D. 905), to that of "Alinde" establishes an unusually clear musical link as well, as example 6 shows.[39] A brief consideration of the remaining songs can provide a final perspective on the interaction of "Alinde" and its audience.

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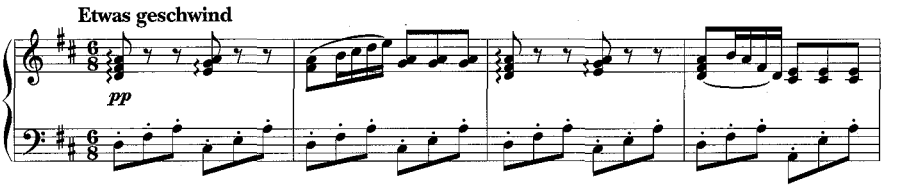
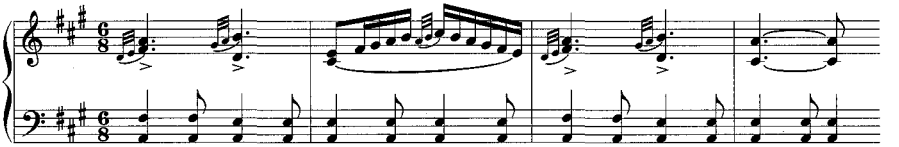
[39] On relations between songs in Schubert's publications, see Walther Dürr, "Franz Schubert in seiner Zeit: Ergebnisse musikalischer Quellenforschung," in *Quellenforschung in der Musikwissenschaft*, ed. Georg Feder, Wolfenbütteler Forschungen 15 (Wolfenbüttel: Herzog August Bibliothek, 1982), 115–17.

Example 6

a. Schubert, "An die Laute," mm. 1–4



b. Schubert, "Alinde," mm. 3–6



The speaker of "An die Laute" is another lover separated from his beloved, but this character is both more cautious and more conventional than his counterpart in "Alinde":

Leiser, leiser, kleine Laute,
Flüstre, was ich dir vertraute,
Dort zu jenem Fenster hin!
Wie die Wellen sanfter Lüfte,
Mondenglanz und Blumendüfte,
Send' es der Gebieterin!

Neidisch sind des Nachbars Söhne,
Und im Fenster jener Schöne
Flimmert noch ein einsam Licht.
Drum noch leiser, kleine Laute:
Dich vernehme die Vertraute,
Nachbarn aber—Nachbarn nicht!

Whisper more softly, little lute, whisper my secret to that window there. Send your message to my mistress like a ripple of soft airs, like moonlight and the scent of flowers.

The neighbor's sons are envious, and a solitary light still gleams in my beauty's window. So play yet more softly, little lute, so that my love may hear you but not—ah, not—the neighbors![40]

[40] Translation from Reed, *The Schubert Song Companion*, 35.

Although the situation is that of a serenade, the speaker addresses not the beloved but his lute. The neighbors occupy a position analogous to that of the workers in "Alinde"—only here the subject's exaggerated fear of their disapproval renders the situation openly comic; not only will he not address them directly, but he so fears their envy that he undermines his chances of being heard at all. The result is a parody of the lied's immediacy, but one that mocks the imagined singer rather than the genre; he apes the traditional situation and describes his song in shopworn images. The setting is equally stereotyped: strictly strophic, with harmony moving only to closely related keys, by straightforward, unexceptional means.

Contemporary reviewers uniformly found the final song, "Zur guten Nacht" (D. 903, for soloist, men's chorus, and piano) to be the least original in opus 81.[41] If the opus is considered as a whole, however, the near-complete reversion to convention in a song that evokes the context of the convivial *Liedertafel* in both text and musical form becomes another comment on the individual subject—or in this case, on its absence:[42]

Der Vorsitzende: Horch auf! es schlägt die Stunde,
Die unsrer Tafelrunde
Verkündigt: Geh' ein jeder heim,
Hat er sein Glas geleeret,
Den Wirth mit Dank geehret,
Und ausgesungen diesen Reim!

Alle: Erst sei dies Glas geleeret,
Der Wirth mit Dank geehret,
Und ausgesungen dieser Reim!

Der Vorsitzende: Wir dürfen fröhlich gehen;
Was wir gehört, gesehen,
Gethan das darf kein Mann bereun;
Und das, was wir empfunden,
Was enger uns gebunden
An Freund und Kunst, darf ihn erfreun.

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[41] The review already cited finds it "sociable" but criticizes its "commonplace close." The Munich *Allgemeine musikalische Zeitung* (6 October 1827) called it the "least original" (cited in Deutsch, *Schubert: A Documentary Biography*, 677). The Vienna *Allgemeiner musikalischer Anzeiger* (16 May 1829) criticized it as "zu ernst, zu steif, und wegen des gleichen Baues der musikalischen Perioden zu einförmig." Cited in *Schubert in Wiener Vormärz: Dokumente 1829–1848*, ed. Otto Brusatti (Graz: Akademische Druck- & Verlagsanstalt, 1978), 34.

[42] On the nature and function of the *Liedertafel*, an institution in which Rochlitz was active, see Peter Nitsche, "Die Liedertafel im System der Zelterschen Gründungen," in *Studien zur Musikgeschichte Berlins im frühen 19. Jahrhundert*, ed. Carl Dahlhaus (Regensburg: Bosse, 1980), 11–26.

Alle: Ja, ja, was wir empfunden (etc.) . . .

Der Vorsitzende: Schlaft wohl; und träumt, wie Bräute!
Kommt nächstens gern, wie heute!
Seyd auf manch neues Lied bedacht!
Und geht einst Einer abe
Zu seiner Ruh im Grabe,
Singt ihm mit Liebe: gute Nacht!

Alle: Ja, geht einst Einer abe (etc.) . . .

Leader: Listen! The hour is striking to tell our party: let everyone go home, when he has emptied his glass, honored our host with his thanks, and sung through this rhyme!

All: First let this glass be emptied, our host honored with thanks, and this rhyme be sung through!

Leader: We may leave happily; no man may regret what we have heard, seen, and done; and that which we have felt, what has bound us more closely to friends and art, may delight him.

All: Yes, yes! What we have felt, etc. . .

Leader: Sleep well, and dream, like brides! Come again next time, like today! May many new songs be thought of! And if anyone should go off to his rest in the grave, sing to him with love: good night!

All: Yes, and if anyone should go off, etc. . . .

If "Alinde" opens opus 81 with an exploration of the place of individuality in a traditional society hostile to it, "Zur guten Nacht" closes the set with an ambivalent image of a characteristic middle-class response to the alienation that an individualistic society could engender: participation in a wide variety of associations (*Vereine*) in which free individuals could come together, on the basis not of inherited roles or status but of mutual special interests.[43] As David Blackbourn has written, such associations can be seen

[43] On the crucial role of *Vereine* in German bourgeois society, see Thomas Nipperdey, "Verein als soziale Struktur in Deutschland im späten 18. und frühen 19. Jahrhundert," in *Gesellschaft, Kultur, Theorie,* Kritische Studien zur Geschichtswissenschaft 15 (Göttingen: Vandenhoeck & Ruprecht, 1976), 174–205; and Blackbourn, "The Discreet Charm of the Bourgeoisie: Reappraising German History in the Nineteenth Century," in Blackbourn and

as "the social counterpart to the market economy: one was based on the mutual exchange of goods between formally equal participants in the marketplace, the other on the mutual exchange of opinions between formally equal citizens."[44]

In place of the individual protagonists of the first two songs, "Zur guten Nacht" offers such a group of freely associating participants; however, here freedom brings not individuality but faceless uniformity. Instead of the uncomfortable individual "ich" of "Alinde," we encounter a series of impersonal or collective forms that include, but do not allow differentiation: "ein jeder," "wir," "Mann," "einer." Even the *Vorsitzende* has no distinguishing characteristics. The death of any one of the group will bring about at most a slight pause in the proceedings of the next meeting. The thoroughly conventional gestures that contemporary critics noted in Schubert's setting can be heard as entirely appropriate to a text in which individuality has no place.

This hearing of "Zur guten Nacht" suggests that "mutual exchange . . . between . . . formally equal citizens," whether of goods, opinions, or even songs, could result in behavior that minimized the very individuality from which it ostensibly arose. The result is comfortable if superficial fellow-feeling and conformity. In this case, the critics themselves provided an ideologically acceptable, less negative interpretation: the conventionality of the song was evidence of musical weakness. That is, because of its overuse of musical conventions, the lied failed to speak, as lieder ought, directly to the individual hearer. The ideology of immediacy, then, again worked to protect individualistic self-identity in bourgeois society by transforming what might have been heard as social critique into simple musical failure.

In the case of "Alinde" itself, the situation is oddly complementary. Still under the influence of an ideology that stresses the lied's unmediated impact on the listener, and less aware than contemporaries of textual and musical clues to social meaning, twentieth-century critics have seen "Alinde" as at best a divertingly pleasant song of no great significance; indeed, if the act of hearing lieder is to function ideologically as I have suggested, "Alinde" must be so heard. The alternative I have proposed attempts to balance the limitations of contemporary listeners against our own. To imagine a contemporary hearing while at the same time remaining aware of the concerns we bring to that act does not eliminate the persistent ideology of the

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Geoff Eley, *The Peculiarities of German History: Bourgeois Society and Politics in Nineteenth-Century Germany* (Oxford and New York: Oxford University Press, 1984), 195–99.

[44] Blackbourn, "The Discreet Charm of the Bourgeoisie," 197.

lied, nor does it allow us to duplicate, *wie es eigentlich gewesen,* the experience of hearers in Schubert's lifetime. It does, however, illuminate the critical role of the listener—and of the listener's socially constituted (and constituting) ideology—in constructing musical meaning.

ABSTRACT

The essay examines the frequently expressed claim that the lied has unmediated access to the most interior regions of individual listeners; that claim functions ideologically to reinforce a belief in the viability of the free individual in bourgeois society. This ideology is explored through an examination of Schubert's "Alinde" (D. 904) and a brief consideration of the two songs published with it, "An die Laute" (D. 905) and "Zur guten Nacht" (D. 903), in the context of the values of the German-speaking educated classes that formed the lied's principal audience in the nineteenth century. By considering music both as an autonomous aesthetic object (as the ideology proposes) and as a marker of collective identity and self-definition, this approach reveals social implications of features of "Alinde" that have previously been considered only in a stylistic context. Among these are the barcarolle as a reference to idyllic peasant society (illustrated by reference to Rossini's *Otello* and *Guillaume Tell* and Auber's *La muette de Portici*) and the disruptive effect of what an early reviewer considered overly abrupt harmonic shifts. The result is a case study in both how music can reinforce social values and how the values of socially situated listeners shape their interpretation of music.